

TENNESSEE DEPARTMENT OF EDUCATION

Checklist for Reviewing Supplemental Educational Services Provider Applications

Applicant Name _____

Reviewer Instructions. Before reading the applicant's response in the SES application, read the criteria for rating the response. Identify required evidence and determine if the quality of the evidence is strong, moderate, limited, or not evident. In the appropriate column on this Checklist, record the points that represent the quality of the applicant's response. When all items have been rated, go to the Overall Recommendation of Reviewer page at the end of the Checklist and follow instructions for calculating the applicant's score.

III. Indicators of Quality – Evidence of Effectiveness

Evidence of positive impact on student achievement is the primary concern of the *No Child Left Behind* Act and is most critical to consumers of supplemental services. Less powerful indicators of effectiveness include evidence of positive impact on school grades, student discipline, student attendance, retention/promotion rates, and/or family/parent satisfaction. States should consider an SES Provider's evidence of improvement in these areas, but this evidence should be considered of secondary importance to evidence of improved student achievement in reading and math as demonstrated by performance on valid and reliable assessments.

SES Providers should also be able to demonstrate success with students who are similar in prior achievement levels and demographics to those students who will be served under the supplemental services provisions of the *No Child Left Behind Act*. Particular student populations to be considered include: low achieving, low-income, minority, migrant, limited English proficient, and special education students.

A. Evidence of Effectiveness <i>(Limit 4 pages)</i>	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 - 4 pts.	MODERATE 5 - 8 pts.	STRONG 9 - 12 pts.
1. The program has a positive impact on student achievement on state, district and/or another independent, valid and reliable performance test, particularly for low-income, underachieving students. (Norm-referenced and criterion-referenced data that are aligned with Tennessee curriculum standards and learning expectations will provide greater evidence.) The provider may use a measure that is not national or statewide (i.e., test that provider developed) <u>OR</u> use school grades, homework completion, or school/teacher administered subject area test.				

Reviewer Comments:

Item 1:

A. Evidence of Effectiveness	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 - 4 pts.	MODERATE 5 - 8 pts.	STRONG 9 - 12 pts.
2. The provider submitted evidence of improved outcomes, such as student attendance, retention/promotion rates, graduation rates, family/parent satisfaction, and/or student behavior/discipline. Available research studies were cited. [Note: If a new tutoring business does not have evidence to submit, the rating should be <i>N/A</i> if the potential provider reasonably explained why the information is not available. [Mark <i>N/A</i> in the fourth column if information is not available.]				
3. The provider submitted current letters (within 3 years) of reference related to tutoring from individuals with whom the provider has worked (families, schools, districts, students, teachers, etc.) offering testimonial information on the positive impact of the provider's program. In the narrative space, the provider listed contact information, start and end dates of service provided, school and school district name for each reference, and the Appendix reference where the letters can be found. [Letters (a maximum of five) from schools and/or school districts in the applicant's service area(s) will be considered most significant.]				

Reviewer Comments:

Item 2:

Item 3:

B. LINKS BETWEEN RESEARCH & PROGRAM DESIGN

SEAs must ensure that all supplemental services provided are “research-based.” A new or very small SES provider may not have had sufficient time or finances to conduct research on its effectiveness, but that provider ought to be able to clearly demonstrate that its program *can* work: i.e., that it was based on solid evidence of what works.

SEAs should require SES Providers to clearly and explicitly demonstrate the links between research-based practice and major instructional components of their program. SEAs can then evaluate a provider's research base by examining the extent to which that provider is able to cite quality research studies that provide rationale and evidence for the key instructional practices and major design elements of their program. Reviewers should indicate the quality of cited research. SES providers cannot be *disqualified* because they cannot provide a research base to support their instructional strategies.

B. Evidence of Links Between Research & Program Design <i>(Limit 1 page)</i>	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 - 4 pts.	MODERATE 5 - 8 pts.	STRONG 9 - 12 pts.
1. The provider clearly and specifically explained why the program design was chosen and cited external or self-conducted academic research offering evidence that the design of the major elements of the program will help increase students' academic achievement. Examples of "major design elements" may include mode of instruction, group size, time on task, etc.				
2. The provider discussed how the program clearly supports the five areas of reading instruction identified by the National Reading Panel, and the corresponding chart in Appendix A has been adequately completed. [Mark N/A in the fourth column if tutoring in reading will not be provided.]				
3. The provider clearly discussed how the instructional program to be offered aligns with the five mathematical process standards outlined in the <i>Principles and Standards for School Mathematics</i> , developed by the National Council of Teachers of Mathematics, and the corresponding chart in Appendix B has been adequately completed. [Mark N/A in the fourth column if tutoring in math will not be provided.]				

Reviewer Comments:

Item 1:

Item 2:

Item 3:

C. CONNECTION TO STATE AND DISTRICT ACADEMIC STANDARDS

The *No Child Left Behind Act* requires supplemental educational services to be consistent with the instructional programs of the districts and with state academic content standards. SEAs should use this checklist to evaluate how clearly and specifically an SES provider can demonstrate a connection to specific state standards and the districts' instructional programs.

Note: Providers must provide direct services to students. Services must be academic in nature and target reading, language arts, and/or math. Applications that focus only on products such as software or “pre-packaged program” that are not specifically aligned to Tennessee curriculum standards and learning expectations will not be approved.

C. Connection to State Academic Standards and District Instructional Programs <i>(Limit 1 page)</i>	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 - 4 pts.	MODERATE 5 - 8 pts.	STRONG 9 - 12 pts.
1. The provider clearly and specifically described how the program's instruction and content are connected to specific state academic standards and learning expectations, especially grade level expectations for math and/or reading/language arts. (Examples are given of specific standards and grade level expectations addressed by the program.)				
2. The provider clearly and specifically described the program's connection with the instructional program(s) of the district(s) in which the provider intends to operate. The provider cited specific district program(s) and described the connection, including efforts to address grade level standards. (If applying for multiple districts, the provider ensured a connection to each district's curriculum in math and/or in reading/language arts.)				

Reviewer Comments:

Item 1:

Item 2:

D. MONITORING STUDENT PROGRESS

To ensure that approved SES providers offer quality programs that will meet the needs of students served, SEAs should consider the specific programs and practices an SES provider uses to (1) diagnose a student's needs, (2) prescribe an instructional program to meet student's needs, and (3) evaluate and monitor the student's progress towards clearly identified goals. The presence of programs and practices that diagnose problems and monitor student progress is an indicator of quality.

D. Monitoring Student Progress <i>(Limit 1 page)</i>	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 - 3 pts.	MODERATE 4 - 6 pts.	STRONG 7 - 9 pts.
1. The provider addressed, in detail, (a) the process by which student needs are assessed/diagnosed and skill gaps identified, (b) how an instructional program/intervention is prescribed to meet the student's individual needs, and (c) how assessment occurs again to determine if skills are mastered or if reteaching needs to occur.				
2. The provider described the specific process that will be used to evaluate, monitor, and track student progress on a continuous and regular basis. The provider included how a timetable will be developed for each student's achievement gain.				

Reviewer Comments:

Item 1:

Item 2:

E. COMMUNICATION WITH SCHOOLS AND DISTRICTS

An approved SES provider should be able to demonstrate a clear link between the academic program a student experiences in the regular school day, and the instruction and content of the SES program. To ensure instructional and cognitive consistency for the child, an approved SES provider should have clear, consistent communication on the student's progress with that student's teachers and appropriate school or district staff. SES applicants should clearly explain the methods, tools, and processes they use to communicate student progress to schools and should specifically explain how they will ensure a connection between the school program and their own services.

E. Communication with Schools and Districts (Limit 1 page)	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 - 2 pts.	MODERATE 3 - 4 pts.	STRONG 5 - 6 pts.
1a. The provider described the specific procedures to be used <u>to establish</u> , in conjunction with school staff, student goals for academic performance and a timeline for reaching the goals.				
1b. The provider described the specific procedures to be used <u>to report on student progress</u> to students' teachers and appropriate school or district staff. The provider stated what information is communicated and how often this procedure will be used.				

Reviewer Comments:

Item 1a:

Item 1b:

F. COMMUNICATION WITH PARENTS AND FAMILIES

SES providers are required to provide parents of children enrolled in a supplemental educational services program with information on the progress of their child in increasing achievement (in the particular skill/knowledge the SES program was designed to develop) in a format and language that parents can understand. SEAs should ask potential providers to clearly explain what methods, tools, and processes they use to communicate student progress to their students' parents and/or families.

F. Communication with Parents (Limit 2 pages)	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 pt.	MODERATE 2 pts.	STRONG 3 pts.
1. The provider described the specific procedures that will be used to report on student progress to students' parents/families and stated how often this procedure will be used. The provider addressed the ability to provide information to parents in languages other than English, and in which languages. [<i>The provider may have attached a sample progress report labeled as such in the Appendices with an appropriate reference to it in this response.</i>]				
2. The provider described services to parents and how parents are involved in creating a timetable and goals for their child's academic progress. The provider indicated whether parents are required to participate in the tutoring service. If parents are involved, the provider described their expected role and how the provider works with parents to explain this role.				
3. The provider outlined student enrollment/intake procedures, retention strategies, and exit procedures highlighting the parents' role in this process.				
4. The provider described plans to cultivate a positive working relationship with parents in order to: (a) resolve problems the students experience with attendance, behavior, etc. (b) resolve disputes and conflicts staff may have with parents, and (c) accommodate the schedules of working parents.				

Reviewer Comments:

Item 1:

Item 2:

Item 3:

Item 4:

G. Qualifications of Instructional Staff (Limit 1 page)

The provider's application will be evaluated based on the extent to which strong evidence is presented of highly qualified staff and a demonstrated commitment to ongoing professional development and improvement of provider's products and services. **All individuals providing tutoring to Tennessee students must have at minimum a high school diploma. Use of tutors who have completed a B.S. degree and are certified as teachers are encouraged.**

Providers may use the following as sources of evidence:

- ◆ The amount and quality of training provided to program staff;
- ◆ Years and level of work experience, particularly in working with Title I students;
- ◆ Highest degree attained; and/or
- ◆ Certification of staff.

Providers are asked to provide the resume of the person who will oversee the instructional plan for students in the Appendix, labeling it as such.

Additionally, a provider who employs fewer than 5 staff members was asked to submit a resume for each staff member (outlining employment experience, professional development experiences, and professional affiliations). Overall, the State should consider the evidence on staff qualifications provided by the SES provider and should look for both demonstrated successful experience as well as evidence of commitment to ongoing professional development and improvement of its own products and services.

G. Qualifications of Instructional Staff <i>(Limit 1 page)</i>	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 - 2 pts.	MODERATE 3 - 4 pts.	STRONG 5 - 6 pts.
1. The provider described qualifications of staff to provide high quality supplemental educational services in reading/language arts and/or math. [See instructions above for a list of the possible evidence of staff qualifications.] In the Appendices, the provider included the resume of the person who will oversee the instructional plan for students, and if applicable, included the resumes of staff, if fewer than 5 are employed.]				
2. The provider described how it is determined that tutors are qualified to work effectively with students who are performing below grade level. If tutors will work with special populations, such as English Language Learners and students with disabilities, the provider described how tutors are qualified to do so effectively.				
3. The provider described the process for (a) recruiting and hiring high quality staff, (b) offering ongoing training and professional development opportunities for continuous improvement of SES services, and (c) supervising employees and reviewing staff performance. The provider described how tutors and paraprofessionals are supervised.				

Reviewer Comments:

Item 1:

Item 2:

Item 3:

H. Financial and Organizational Capacity

The *No Child Left Behind* Act requires that the SEA's criteria for identifying approved SES providers must include "evidence that the provider is financially sound." Education consumers need to know that the program provider in which they choose to "invest" has the financial capacity to sustain quality services and support to all its students. These indicators can help the SEA evaluate a program provider's capacity to deliver quality services over time and at scale.

There are a number of ways an SES applicant might prove that it is financially and organizationally sound, and the acceptable evidence will vary depending on the initial size and capacity of the provider. Individuals applying to be an SES provider will possess different financial and management structures than large companies applying to be an SES provider. The SEA should take these differences into account when reviewing applications.

The provider's application will be evaluated based on the extent to which there is strong evidence of capacity to deliver quality services over time and at scale. Provide a narrative response for Items H.1 and H.2 and in the Appendices, include sources of evidence selected from the list below. At minimum, evidence must include those items marked with an asterisk (*).

- ◆ *Audited financial statements or a copy of Schedule C of your most recent tax return or Form 1065 for Partnerships;
- ◆ *Proof of liability insurance for a minimum of \$100,000 (company name and policy number, or copy of policy cover page);
- ◆ Copies of business license, if required by law, or formal documentation of legal status with respect to conducting business in Tennessee (and districts, if applicable);
- ◆ Contracts, warranties, or guarantees for service provided;
- ◆ Documentation of membership in the Better Business Bureau (BBB), and if applicable, an explanation of any known unresolved complaints with the BBB.
- ◆ A description of how your business currently receives funds (i.e., grants, fees-for-service, etc.)
- ◆ Credit ratings from an independent rating agency;
- ◆ Business plans or profiles that might include: goals, timelines and expected outcomes; detailed action steps; descriptions of financial and staff resources; organizational budgets that accounts for revenues and expenses and cash flow activity; and outlines of roles and responsibilities of staff within the organization.
- ◆ Descriptions of experienced management team (e.g. CEO, CFO, COO, Marketing Director, Director of Staff Development, etc.) and senior staff members who help set direction and maintain a leadership system. (A "team" may be only one or two persons in smaller organizations.)
- ◆ Samples or descriptions of formal contract, data collection, accounting, and communications processes and systems.

H. Financial and Organizational Capacity <i>(Limit 1 1/2 pages)</i>	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 - 2 pts.	MODERATE 3 - 4 pts.	STRONG 5 - 6 pts.
1a.The provider is financially sound as evidenced by the narrative response and the following documents located in the Appendices: audited financial statements <u>or</u> a copy of Schedule C of a recent tax return <u>or</u> Form 1065 for Partnerships and from other documents listed above.				
1b.The provider submitted evidence, in the Appendices, of liability insurance for a minimum of \$100,000.	NO 0 pts.	YES 4 pts.		
2.The provider submitted evidence (in the narrative and/or Appendices) demonstrating a sound management structure. [<i>The evidence may include: (a) business plans or profiles; (b) descriptions of an experienced management team (e.g. CEO, CFO, COO, Marketing Director, Director of Staff Development, etc.) and senior staff members who are involved in setting direction and maintaining a leadership system that enables students to reach high standards.</i>]	NONE 0 pts.	LIMITED 1 - 2 pts.	MODERATE 3 - 4 pts.	STRONG 5 - 6 pts.

Reviewer Comments:

Item 1a:

Item 1b:

Item 2:

I. COMPLIANCE WITH FEDERAL, STATE, AND LOCAL HEALTH & SAFETY STANDARDS

All approved SES providers must comply with federal, state and local health and safety standards. SEAs should include any indicators specific to their state or district(s) legal requirements for health and safety.

I. Compliance with Federal, State and Local Health & Safety Standards <i>(Limit 1 page)</i>	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 pt.	MODERATE 2 pts.	STRONG 3 pts.
1. In the narrative, the provider has agreed to work with each local education agency to conduct criminal background checks, pursuant to T.C.A. 49-5-413, on all employees before hiring and ensures that nothing precludes a person from being in proximity to students.	NO 0 pts.	YES 2 pts.		
2. If tutoring is conducted at the provider's business, the provider demonstrated compliance with federal, state, and local health and safety requirements. In the narrative, the provider listed licenses and certifications in the provider's name and submitted copies in the Appendices of the required licenses and/or certifications for health and safety [i.e. local or state fire inspection certificate, health and sanitation inspection reports, or Occupational Safety and Health (OSHA) report]. OR The provider reported that tutoring is not conducted at a business site. [Mark N/A in the fourth column if not applicable.]	NONE 0 pts.	LIMITED 1 pt.	MODERATE 2 pts.	STRONG 3 pts.

Reviewer Comments:

Item 1:

Item 2:

I. Compliance with Federal, State and Local Health & Safety Standards <i>(Limit 1 page)</i>	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 pt.	MODERATE 2 pts.	STRONG 3 pts.
3a. The provider described safety record and procedures in general and provided more specific information about how students will be supervised and protected based on the location of the tutoring. (For example, students being tutored on campus after school, an explanation was included how they are supervised once they are released from classes at the end of the school day and until they return to their parent's/guardian's care.) The provider outlined a plan of action in the event that children are not picked up on time and indicated supervision and precautions taken when students are tutored at alternate sites, including in their own homes.				
3b. The provider included specific information about the mechanisms in place to be sure that children are released only to the appropriate individuals.				
3c. The provider included specific information about plans for addressing fires, weather-related emergencies, building intruders, or other events requiring safety precautions or building evacuation, including a mechanism for communicating with emergency personnel.				
3d. The provider included specific information about plans for being aware of and addressing medical emergencies of children receiving services.				

Reviewer Comments:

Item 3a:

Item 3b:

Item 3c:

Item 3d:

I. Compliance with Federal, State and Local Health & Safety Standards <i>(Limit 1 page)</i>	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 pt.	MODERATE 2 pts.	STRONG 3 pts.
4a. The provider indicated that tutoring will be provided via the Internet, and discussed policies and/or procedures in place to prohibit the transmittal of any material in violation of any U.S. or state regulations or school board policy, including but not limited to, copyrighted material and threatening or obscene material. <i>[Mark N/A in the fourth column if the provider does not use the Internet for tutoring students.]</i>				
4b. The provider discussed policies and/or procedures in place for abiding by all school/LEA policies and procedures regarding computer/Internet use if a student will be using a school computer to access information from a provider. <i>[Mark N/A in the fourth column if the provider does not use the Internet for tutoring students or if the provider will not be using school computers.]</i>				
4c. The provider discussed policies and/or procedures in place for gaining written parental permission before communicating with students under the age of 13 via e-mail or the Internet (defined in Title XIII-Children's Online Privacy Protection Act of 1998.) <i>[Mark N/A in the fourth column if the provider does not use the Internet for tutoring students.]</i>				

Reviewer Comments:

Item 4a:

Item 4b:

Items 4c:

J. Compliance with Federal, State and Local Civil Rights Protections

All approved SES Providers must comply with federal, state and local civil rights protections for program employees *and* participants. It should be noted that providers who are religiously affiliated are prohibited from refusing to hire otherwise qualified tutors or denying students who are not of that religion. SES Providers must ensure that instruction is secular, neutral and non-ideological.

SES providers must respond to **both parts** of Item 1, and if applicable, to Item 2 below in order to be approved.

J. Compliance with Federal, State and Local Civil Rights Protections (<i>Limit ½ page</i>)	Quality of Evidence			
	NONE 0 pts.	LIMITED 1 - 2 pts.	MODERATE 3 - 4 pts.	STRONG 5 - 6 pts.
1. The provider submitted evidence of compliance with federal, state, and local civil rights protections for its <u>employees</u> and for its <u>students</u> .				
2. <u>If</u> services are offered to students with disabilities, the provider shows evidence of compliance with Individuals with Disabilities Education Act (IDEA) and Americans with Disabilities Act (ADA) requirements. For example, the provider indicated how a student's Individualized Education Plan (IEP) will be used in tutoring and what accommodations, such as large print books, acoustical devices, touch screen computers, are available for the student. (Mark "N/A" in the fourth column if tutoring services will not be available for students with disabilities.)				

Reviewer Comments:

Item 1:

Item 2 (if applicable):

K. Other Considerations

SES providers are allowed a half page of text in which to describe any additional considerations they would like you to consider when reviewing this application. *This is an optional section; SES providers should not be disqualified if they do not respond to this section. Points will not be awarded for this item but the information may be used to strengthen required responses.*

K. Other Considerations (Limit ½ page)	
Other considerations offered: * * * *	Comment on the quality of evidence or strength of additional consideration(s) offered:

Reviewer Comments:

This reviewer checklist was adopted from the *SEA Toolkit on Supplemental Educational Services* developed by the Council of Chief State School Officers (CCSSO) and the Education Quality Institute (EQI).

SCORING FORM FOR SES APPLICATION

Applicant Name _____

Reviewer _____ Date _____

Part III - SCORING

Criteria	Possible Pts.	Earned Pts.
A. Evidence of Effectiveness		
A.1.	12	
A.2.	12	
A.3.	12	
B. Links between Research & Program Design		
B.1.	12	
B.2.	12	
B.3.	12	
C. Connection to State & District Academic Standards		
C.1.	12	
C.2.	12	
D. Monitoring Student Progress		
D.1.	9	
D.2.	9	
E. Communication with Schools & Districts		
E.1a.	6	
E.1b.	6	
F. Communication with Parents & Families		
F.1.	3	
F.2.	3	
F.3.	3	
F.4.	3	
G. Qualifications of Instructional Staff		
G.1.	6	
G.2.	6	
G.3.	6	
H. Financial & Organizational Capacity		
H.1a.	6	
H.1b.	4	
H.2.	6	
I. Federal, State, & Local Health & Safety Standards		
I.1.	2	
I.2.	3	
I.3a.	3	
I.3b.	3	
I.3c.	3	
I.3d.	3	
I.4a.	3	
I.4b.	3	
I.4c.	3	
J. Federal, State, & Local Civil Rights Protections		
J.1.	6	
J.2.	6	
TOTAL POINTS		

Procedure for Calculating Application Score

1. Transfer earned points from the rubric to the Scoring Form and record earned points in the appropriate spaces. **NOTE:** If the applicant indicated "N/A" for a response, write in "N/A" for possible points and for earned points.
2. Determine total possible points (exclude points for N/A items) and total earned points and records totals on the last line in the appropriate columns.
3. Calculate percent of points earned. (Divide earned points by possible points and multiply results by 100. For example, Out of 210 possible points, the applicant had a total of 201 possible points since Items I-4a, 4b, 4c were "not applicable." The applicant had a total of 172 earned points, divided by 201 possible points, resulting in a decimal of .855 X 100=85.5% or 86%.) Calculate the score in the space below:

$$\frac{\text{Earned}}{\text{Possible}} = \quad \times 100 = \quad \%$$

4. Use the application score to determine the status of the application and check the appropriate box below to indicate application review status.
5. Sign and date this form.

Approved Application (The application has a score of 70% or better.)

An approved application with a score in the range of 70 to 79 will be conditionally approved and the provider will be required to reapply annually until sufficient evidence of effectiveness is presented to warrant a score greater than 79.

Disapproved Application (The application has a score of 69.4% or less.)

Note: If the review status of the application is not consistent among the three reviewers, an average of the three sets of points earned will be used to determine the status of the application.

Signature of Reviewer: _____

Date: _____